



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

(Attorney Docket No.: 109878.124)

Applicant(s): Ferrari, et al.
Serial No.: 09/961,131
Filed: September 21, 2001
For: SCALABLE HIERARCHICAL DATA-DRIVEN NAVIGATION
SYSTEM ANDM METHOD FOR INFORMATION RETRIEVAL

Group Art Unit: 2173

Examiner: Not Yet Assigned

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Commissioner for Patents
Washington, D.C. 20231

AUG 16 2002

Technology Center 2100

CERTIFICATE UNDER 37 C.F.R. 1.8(a)

I hereby certify that this correspondence is being as first class mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231 on the date set forth below.

8/12/02
Date

Anthony W. Sutton
Anthony W. Sutton

THIRD INFORMATION DISCLOSURE STATEMENT

Commissioner:

Applicants and their attorney are aware of the following publications and information listed on the attached PTO Form 1449, and in accordance with 37 CFR §1.97 hereby submit these documents for the Examiner's consideration.

Pursuant to 37 C.F.R. §1.97 (b)(3), Applicants hereby make of record the documents listed on the attached Form PTO-1449. Copies of the U.S. patents listed on Form PTO-1449 are enclosed.

It is respectfully requested that the information above be expressly considered during the prosecution of this application and that the publications be made of record therein and appear among the "References Cited" on any patent to issue therefrom. In this regard, it is requested that the Examiner initial and return a copy of the enclosed Form PTO-1449 with the next Patent Office Communication.

This submission does not represent that a search has been made and does not constitute an admission that the listed documents are material to patentability or that the listed documents are prior art. If it should be determined that any of the listed documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents.

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Applicant further reserves the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits and is therefore submitted as both timely and proper; therefore, no fees are believed to be due.

The Commissioner, however, is hereby authorized to charge any fee deficiency or credit any overpayment to Deposit Account No. 08-0219. A duplicate copy of this sheet is enclosed for that purpose.

Respectfully submitted,

Date: 8/9/2002

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Subt. Form PTO-1449				Docket Number 109878.124		Application Number 09/961,131	
INFORMATION DISCLOSURE IN AN APPLICATION (Use several sheets if necessary)				Applicant Ferrari, et al.			
				Filing Date September 21, 2001		Group Art Unit 2773	
Sheet	1	OF	1				

U.S. Patent Documents						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,644,740	7/1/97	Kiuchi	395	357	
	6,418,429	7/9/02	Borovoy, et al.	707	3	

Foreign Patent Documents							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 00/36529	6/22/00	PCT				
	0 694 829 A1	1/31/96	EP				
	0 694 829 B1	5/2/02	EP				

Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)		
A1	Hearst, M., et al. "Cat-a Cone: An Interactive Interface for Specifying Searches and Viewing Retrieval Results Using A Large Category Hierarchy" <i>Ann. Int. ACM-SIGIR Conf. On Res. And Dev. In Information Retrieval</i> , (1997) pp. 246-255	
A2	Pedersen, G. S., "A Browser For Bibliographic Information Retrieval Based On An Application Of Lattice Theory" <i>Proc. Of the Ann. Int. SCM SIGIR Conference on Res. And Dev. In Information Retrieval</i> , (1993), pp. 270-279	
A3	Story, G. A., et al., "The RightPages Image-Based Electronic Library for Alerting and Browsing" <i>Computer</i> , (1992), Vol. 25(9), pp. 17-25	
A4	Allen, R. B., "Two Digital Library Interfaces That Exploit Hierarchical Structure" <i>Electronic Publishing</i> (1995) 8 pages	
A5	Allen, R. B., "Retrieval From Facet Spaces" <i>Electronic Publishing</i> (1995), Vol. 8(2&3), pp. 247-257	
A6	Agosti, m., et al. "Issues of Data Modelling in Information Retrieval" <i>Electronic Publishing</i> , (1991), Vol. 4(4) pp. 219-237	

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EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP § 609: Draw Line through citation if not conformance and not considered. Include copy with next communication to applicant.	